



STATE OF NEVADA

OFFICE OF THE SECRETARY OF STATE
101 N Carson Street Suite 3
Carson City NV 89701

Posted: 3/6/09
Contact: Kris Barrette
Phone: [775] 684-5716

JOB ANNOUNCEMENT
AN OPEN COMPETITIVE RECRUITMENT for:

CHIEF OF ENFORCEMENT

APPROXIMATE ANNUAL SALARY: \$97,590.00 plus benefits (**UNCLASSIFIED POSITION**) (Class Code: U3616). Salary range reflects retirement contributions by employee & employer. Employer paid contribution plan is available with a reduced gross salary.

RECRUITMENT OPEN TO: All qualified applicants

APPLICATIONS MUST BE RECEIVED BY: Until position is filled. Applications will be reviewed upon receipt.

RECRUITING FOR: A permanent, full-time vacancy with the Secretary of State, Securities Division, Las Vegas, Nevada.

- **JOB DESCRIPTION:** Under administrative direction of the Securities Administrator, Chief Deputy and the Secretary of State, plan, organize, manage and coordinate the criminal and administrative enforcement activities of the Division. Under administrative direction, the incumbent manages the criminal investigators who prepare felony criminal actions for submission to the Attorney General's Office for prosecution, and the compliance/audit investigators who prepare civil actions and/or administrative actions for non-criminal violations of State laws governing securities and commodities.
- Prepare and review subpoenas and administrative orders to be issued by the Securities Administrator in connection with enforcement activities, and the activities of licensed entities and persons, prepare and assist in negotiating legally binding settlement agreements or consent orders on behalf of the division or at the request of the Securities Administrator or Secretary of State.
- Conduct administrative enforcement hearings before the Securities Administrator or other hearings officer.
- Manage the activities and operations of assigned projects and cases; maintain appropriate records and reports.
- Direct investigations into suspected violations of securities and commodities laws or regulations; review and analyze the adequacy of evidence collected by criminal investigators or auditors and

make recommendations to the Securities Administrator, Chief Deputy or Secretary of State as to what legal action should be taken.

- Assist Deputy Attorney General(s) assigned to the Securities Division in conducting legal research and drafting legal documents on behalf of the division.
- Prepare legal documents and submit to the Securities Administrator for final approval.
- Conduct legal research and analysis of areas in securities and commodities statutes, regulations and internal policies; draft revisions, proposals and legislation for the Securities Administrator's review; conduct legislative analysis/testimony as required.
- Perform related duties as assigned.

TO QUALIFY: Graduation from an accredited law school with a juris doctor degree and at least three (3) years of experience in criminal investigations of white collar crimes such as securities, insurance and computer fraud, and various schemes such as advanced fee, pyramid, bankruptcy fraud, and land schemes. One (1) year of supervision of professional level employees and involved planning, organizing, directing and evaluating subordinate work activities.

- Entry Knowledge, Skills and Abilities (required at time of application):
 - **Detailed knowledge of:** State and federal securities and commodities laws; legal procedure as applied to the preparation of legal documents and presenting cases; State and deferral securities and commodities laws.
 - **Working knowledge of:** legal and administrative hearings procedures; investigative techniques; supervisory and training practices; financial and accounting principles; the securities industry including standards relating to registration, underwriting and corporation financing.
 - **Ability to:** analyze financial documents and statements; identify violations of State and federal securities laws and conduct investigations; analyze sophisticated investment schemes, reconstruct events, and follow the funds; substantiate findings with appropriate evidence; prepare investigative reports; communicate effectively both orally and in writing.
- Full Performance Knowledge, Skills and Abilities (typically acquired on the job):
 - **Working knowledge of:** Nevada Uniform Securities Act and Commodities Code; Nevada Administrative Procedures Act; agency rules, regulations, policies and procedures; State Administrative Manual and State personnel administration rules; Nevada Uniform Athletes' Agents Act.

Special Requirements: A State of Nevada/FBI background check and fingerprinting will be required of the selected applicant. Persons offered employment may be required to pay for these services.

SUBMIT LETTER OF INTEREST & RESUME TO:

Kris Barrette, Personnel Technician
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